



Subrecipient Monitoring Checklist

Determine Type of Organization	
	<i>Comments:</i>
<input type="checkbox"/> Non-Profit Organization - will be provided > \$500,000 in federal funds under this subaward. (Subject to A-133)	
<input type="checkbox"/> Non-Profit Organization - will be provided < \$500,000 in federal funds under this subaward.	
<input type="checkbox"/> For Profit Organization	
<input type="checkbox"/> Foreign Organization	
<input type="checkbox"/> Other	
NOTE: Have the organization complete the "Subrecipient Information Form"	
<p>Risk Based Monitoring Actions <i>***Should be considered for all subrecipients whether or not they are subject to A-133.</i> These are suggested steps that might be taken to monitor subrecipients. Campuses may identify additional steps to be taken based on individual factors of each subrecipient.</p>	
Steps to Determine Risk Level of Subrecipient	
	<i>Comments:</i>
<input type="checkbox"/> Determine if entity was on debarred list HTTP://epls.arnet.gov NOTE: This is required	
<input type="checkbox"/> Is there any history of problems with the subrecipient. Discuss with Project Director/Principal Investigator	
<input type="checkbox"/> Review Data Collection Form on Federal Clearinghouse Website HTTP://harvester.census.gov/sac/dissement/entity.html	
<input type="checkbox"/> Amount of subaward.	
<input type="checkbox"/> Complexity of subaward.	
<input type="checkbox"/> Percent of award to be subbed out.	
<input type="checkbox"/> Nature of deliverable.	
<input type="checkbox"/> Foreign location.	
<input type="checkbox"/> Based on above, is this entity a low, moderate or high risk?	
Possible Monitoring Actions	
	<i>Comments:</i>
<input type="checkbox"/> Desk Audits	



<input type="checkbox"/> Review invoices	
<input type="checkbox"/> Amount is correct and in accordance with budget	
<input type="checkbox"/> Sufficient detail is provided to permit identification of costs	
<input type="checkbox"/> Expenditures are in compliance with applicable laws, regulations and specific requirements of the program	
<input type="checkbox"/> Proper authorization by the PI.	
<input type="checkbox"/> Other special terms and conditions that may apply	
<input type="checkbox"/> Invoice is certified by subrecipient	
<input type="checkbox"/> Review Progress/Technical Reports and/or deliverables	
<input type="checkbox"/> Submitted timely	
<input type="checkbox"/> Adequately meet program requirements	
<input type="checkbox"/> Have the PI sign certification re: completion of reports or receipt of deliverables	
<input type="checkbox"/> Request submission of backup documentation to support invoiced expenditures during the award period and/or at closeout	
<input type="checkbox"/> Copies of paid invoices	
<input type="checkbox"/> Detail of travel charges	
<input type="checkbox"/> Payroll registers	
<input type="checkbox"/> Time and effort reports	
<input type="checkbox"/> Make site visits to review supporting documentation to support invoiced expenditures	
<input type="checkbox"/> Review backup documentation to support invoice expenditures	
<input type="checkbox"/> Copies of paid invoices	
<input type="checkbox"/> Detail of travel charges	
<input type="checkbox"/> Payroll registers	
<input type="checkbox"/> Time and effort reports	
<input type="checkbox"/> Negotiation agreements for fringe benefits and F and A rates	
<input type="checkbox"/> Observe operations and project performance for deliverable requirements	
<input type="checkbox"/> Arrange for outside audit	
<input type="checkbox"/> Arrange for review of specific, agreed upon procedures for certain aspects of the subrecipient's activities (e.g., eligibility determinations)	



<input type="checkbox"/> Contact subrecipient officials to discuss areas of concern	
<input type="checkbox"/> Review previous A-133 audit reports or OMB Data Collection Form. HTTP://harvester.census.gov/sac/dissemin/entity.html	
<input type="checkbox"/> Questioned costs	
<input type="checkbox"/> Corrective Actions	
<input type="checkbox"/> Review subrecipient single audit or program specific audit results, if available	
<input type="checkbox"/> Audit Findings	
<input type="checkbox"/> Corrective action plans	
<input type="checkbox"/> Other actions taken	